

## Draft Compliance Assistance Data Standard

The compliance assistance data element matrix is presented as separate and distinct from the enforcement/compliance data standard because compliance assistance deals with an area of information that is not currently, routinely exchanged. It does not have a basis in long-established practice and program-to-program data exchange. It is included for comment in the Notice as a way to receive State and other data exchange partner reaction to its form and impact on systems as an area of potential new data exchange.

Compliance assistance includes activities, tools, or technical assistance that provides clear and consistent information for helping the regulated community understand and meet its regulatory obligations, or helping other compliance assistance providers (including government agencies, contractors and grantees) to aid the regulated community in complying with environmental regulations. Although compliance assistance may also help the regulated community find cost-effective ways to comply with regulations and improve environmental performance through the use of pollution prevention, environmental management practices, and innovative technologies, at least one objective of compliance assistance must be related to achieving or advancing regulatory compliance.

Although many states and EPA may have robust compliance assistance programs, due to the difficulty of measuring compliance assistance, it is one of the least measured tools in the compliance assurance toolbox. Yet to understand the value and further the use of compliance assistance to help improve compliance, there is a need to evaluate compliance assistance activities more consistently on a national basis. By establishing consistent, national data elements and standards, it is hoped that compliance assistance measurement will be facilitated and encouraged.

The following table contains the draft compliance assistance data elements.

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
<b>Compliance Assistance Provider Information</b>				
<i>Definition:</i> Information about the organization offering or providing the compliance assistance.				
<i>Relationships:</i> A compliance assistance provider conducts one or more compliance assistance activities or products.				
1	Provider Agency Name	The name of the agency offering or providing the compliance assistance.		A(20)
2	Subprogram/Office Name	The name of the subprogram or office offering or providing the compliance assistance.		A(60)
3	Subprogram/Office Phone Number	The main phone number of the subprogram or office offering or providing the compliance assistance.		A(15)

[illegible]

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		facility client receiving the compliance assistance.  <i>Permissible Values:</i> Compliance Assistance Provider  Regulated Entity  Non-regulated Entity  Unknown		
<b>Project/Initiative Information</b> <i>Definition:</i> Information on a compliance assistance effort developed for a program area, sector, or regulation using one or more approaches and tools.  <i>Relationships:</i> A project/initiative is associated with one or more compliance assistance activities or products.				
7	Project/Initiative Name	Name of the new or existing compliance effort developed for a program area, sector, or regulation using one or more approaches and tools.		A(100)
8	Project Start Date	The calendar date that the compliance assistance project/initiative began.		D(8) YYYYMMDD
9	Project End Date	The calendar date that the compliance assistance project/initiative ceased.		D(8) YYYYMMDD
<b>Compliance Assistance Product Information</b> <i>Definition:</i> Information on the compliance assistance product developed for an activity or project/initiative.  <i>Relationships:</i> A compliance assistance product is associated with one name. A compliance assistance product is produced by one or more compliance assistance providers. A compliance assistance product is associated with one or more projects/initiatives. A compliance assistance product is associated with one or more activities.				
10	Compliance Assistance Product Name	The name of the compliance assistance product provided to the client.		A(100)
11	Compliance Assistance Product Date	The calendar date that production of the compliance assistance product was completed.		D(8) YYYYMMDD

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
12	Product Media	<p>The medium or media on which the product is available.</p> <p><i>Permissible Values:</i>  Printed documents   35 mm slides   Videotape   CD (Compact Disc)   DVD (Digital Versatile Disc)   Audiotape   Web posting</p>	Choose all appropriate.	A(23)
<p><b>General Compliance Assistance Activity Information</b></p> <p><i>Definition:</i>  Information on the compliance assistance activity developed for a facility, area, or sector using a variety of approaches and tools.</p> <p><i>Relationships:</i>  A compliance assistance activity type is associated with zero or more clients.  A compliance assistance activity type is associated with one or more providers.  A compliance assistance activity type is associated with zero or more products.  A compliance assistance activity type is associated with zero or more group assistance outcomes.  A compliance assistance activity type is associated with zero or more facility assistance outcomes.  A compliance assistance activity type is associated with zero or more projects or initiatives.  A compliance assistance activity type is associated with one start date.  A compliance assistance activity type is associated with one end date.  A compliance assistance activity type is associated with one name.  A compliance assistance activity type is associated with one or more locations.</p>				
13	Compliance Assistance Activity Type	<p>The type of compliance assistance offered to the recipient.</p> <p><i>Permissible Values:</i>  Client Visit - A type of onsite assistance specifically designed to help the client solve an environmental problem, reduce emissions and waste, and/or address a compliance issue.   Data Review - A review of data provided by client, research, report preparation, or problem</p>	The response to an information request can include answering a question; sending a printed or electronic document; or referring clients to other people, groups, agencies, a Web site or a document.	A(19)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		<p>solving on behalf of the client, or other activity for client.</p> <p>Event - A workshop, meeting, conference, or training event that involves teaching or disseminating information to clients.</p> <p>Response to Inquiry - A response to an information request from any communications method, including phone, mail, e-mail, Web site, or fax, or any request for assistance or information as follow-up to a conference, workshop, or other event by the program client.</p> <p>New Grant - A type of assistance that involves the grant of a monetary award to a company, agency, or program to support a specific project or activity.</p>		
14	Compliance Assistance Activity Name	The name of the compliance assistance activity.		A(100)
15	Compliance Assistance Activity Start Date	The calendar date that the compliance assistance activity began.		D(8) YYYYMMDD
16	Compliance Assistance Activity End Date	The calendar date that the compliance assistance activity ceased.		D(8) YYYYMMDD
17	Compliance Assistance Activity Location City	The name of the city, town, or village where the compliance assistance activity took place.		A(30)
18	Compliance Assistance Activity Location State Code	The U.S. Postal Service alphabetic code that represents the U.S. state or territory where the compliance assistance activity took place.		A(2)
19	Compliance Assistance Activity	The reason for providing the compliance assistance to the	The permissible value "Agency Initiative/Priority"	A(29)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
	Reason	<p>recipient.</p> <p><i>Permissible Values:</i> Referral</p> <p>Agency Initiative/Priority</p> <p>Requested By Recipient/Client</p>	also includes base program activities.	
<b>Specific Compliance Activity Type Information</b> <i>Definition:</i> Information on specific compliance assistance activity types developed for a facility, area, or sector using a variety of approaches and tools.				
20	Client Visit Purpose	<p>The purpose of the onsite compliance assistance visit.</p> <p><i>Permissible Values:</i> Compliance Assistance</p> <p>Pollution Prevention</p> <p>Environmental Management Systems Training</p>	<p>Choose all appropriate.</p> <p>This data element is used only if the type of Compliance Assistance Activity was “Client Visit.”</p>	A(41)
21	Results Communicated Date	<p>The calendar date when results were communicated or report sent to the client as a result of review of data provided by client/research/report preparation/problem-solving on behalf of client/other activity for client.</p>	<p>This data element is used only if the type of Compliance Assistance Activity was “Data Review.”</p>	D(8) YYYYMMDD
22	Event Topic	<p>The topic of the workshop, meeting, conference, or training event provided to the recipient.</p> <p><i>Permissible Values:</i> Compliance With Environmental Regulations</p> <p>Pollution Prevention</p> <p>Environmental Management Systems</p> <p>Permit Development</p> <p>Conservation</p>	<p>This data element is used only if the type of Compliance Assistance Activity was “Event.”</p>	A(41)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
23	Event Title	The title of the workshop, meeting, conference, or training event provided to the recipient.	This data element is used only if the type of Compliance Assistance Activity was "Event."	A(100)
24	Event Attendees	The number of persons attending the workshop, meeting, conference, or training event.	This data element is used only if the type of Compliance Assistance Activity was "Event."	N(6)
25	Inquiry Method	<p>The forum from which the inquiry was received.</p> <p><i>Permissible Values:</i></p> <p>Hotline</p> <p>E-mail</p> <p>Web Site Hits</p> <p>Regular Mail</p> <p>Phone Call</p> <p>In Person</p>	This data element is used only if the type of Compliance Assistance Activity was "Response to Inquiry."	A(16)
26	Information Type Distributed	<p>The type of information sent to the client/inquirer.</p> <p><i>Permissible Values:</i></p> <p>Fact sheet</p> <p>Checklist</p> <p>Manual</p> <p>Brochure</p> <p>Electronic information</p> <p>Audio visual product</p> <p>Letter</p> <p>Other: write in</p>	<p>Choose all appropriate.</p> <p>Only used if the type of Compliance Assistance Activity was "Response to Inquiry."</p>	A(22)
27	Grant Amount	The dollar amount awarded to a company, agency, program, or other entity to support a specific project or activity.	This data element is used only if the type of Compliance Assistance Activity was "Received New	N(15)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
			Grant.”	
28	Grant Purpose	<p>The purpose for which the grant was awarded to the recipient.</p> <p><i>Permissible Values:</i></p> <p>Compliance</p> <p>Conservation</p> <p>Good Operating Practices</p> <p>Process Changes/Pollution Prevention</p> <p>Reuse/Recycling</p> <p>Technology Changes</p> <p>Other: write-in</p>	<p>Choose all appropriate.</p> <p>This data element is used only if the type of Compliance Assistance Activity was “Received New Grant.”</p> <p>Grants are awarded in support of a specific project or activity. The grant should be linked to a project name, start and end dates or an activity name, start and end dates.</p>	A(36)
<p><b>Group Compliance Assistance Outcome Information</b></p> <p><i>Definition:</i></p> <p>Information on changes in awareness, understanding, behavior; and the financial and environmental benefits achieved as result of a compliance assistance activity or product provided or distributed to a group (as opposed to one-on-one assistance given to a facility).</p> <p><i>Relationship:</i></p> <p>An outcome is associated with one compliance assistance activity or product.</p> <p>A compliance assistance activity or product may be associated with one or more outcomes.</p>				
29	Follow-up Method	<p>The instrument or method used to assess the effectiveness of a compliance assistance activity.</p> <p><i>Permissible Values:</i></p> <p>Evaluation Form Distributed at Event</p> <p>Pre- and Post-Test Distributed at Event</p> <p>Mailed Survey</p> <p>Telephone</p> <p>E-mail</p> <p>Onsite Visit</p>		A(36)



Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		Report Submitted by Client		
30	Total Number Distributed/Conducted	The total number of surveys, evaluation forms sent/issued or e-mail/verbal inquiries made for a compliance assistance activity.	The total number distributed/conducted is linked to a compliance activity name, start and end dates.	N(6)
31	Total Number of Responses	The total number of responses per year received from inquiries related to a compliance assistance activity.	The total number of responses is linked to a compliance activity name, start and end dates.	N(6)
32	Number with Increased Awareness	The number of respondents indicating that they have acquired an increased awareness and understanding of environmental regulations and/or pollution prevention opportunities after pollution prevention/compliance assistance was provided.	The number of respondents with increased awareness is linked to a compliance activity name, start and end dates.	N(6)
33	Number of Intended or Reported Behavioral Changes	The number of respondents indicating that they have made or intend to make behavioral changes after pollution prevention/compliance assistance was provided.	The number intended/reported behavioral changes is linked to a compliance activity name, start and end dates.	N(6)
34	Number of Verified Behavioral Changes	The number of respondents that have made provider verified behavioral changes after pollution prevention/compliance assistance was provided.	The number of behavioral changes is linked to a compliance activity name, start and end dates.	N(6)
<b>Facility Compliance Assistance Outcome Information</b> <i>Definition:</i> Information on changes in awareness, understanding, behavior; and the financial and environmental benefits achieved as the result of a compliance assistance activity. Facility-based information is captured on a yearly basis.  <i>Relationship:</i> A facility outcome is associated with one compliance assistance activity or product. A compliance assistance activity or product may be associated with one or more facility outcomes.				
35	Increased Awareness	The client/recipient indicated that they have acquired an increased awareness and understanding of environmental regulations and/or pollution prevention opportunities after		A(1)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		<p>pollution prevention/compliance assistance provided.</p> <p><i>Permissible Values:</i> Y - Yes N - No</p>		
36	Intend to Make Behavioral Changes	<p>The client/recipient indicated that they intend to make behavioral changes after pollution prevention/compliance assistance provided.</p> <p><i>Permissible Values:</i> Y - Yes N - No U - Unknown</p>		A(1)
37	Made Behavioral Change(s)	<p>Indicates whether the client/recipient made behavioral changes after pollution prevention/compliance assistance was provided.</p> <p><i>Permissible Values:</i> Reported - Behavioral change was reported by client/recipient but not verified by provider.</p> <p>Verified - Behavioral change was reported by client/recipient and verified by provider.</p> <p>No Change - Client/recipient did not report a behavioral change.</p>		A(10)
38	Suggestions Implemented	<p>Indicates whether the client/recipient implemented at least one of the pollution prevention/compliance assistance suggestions provided.</p> <p><i>Permissible Values:</i> Reported - Implementation of pollution prevention/compliance assistance suggestions was reported by client/recipient but not verified by provider.</p> <p>Verified - Implementation of pollution prevention/compliance</p>		A(10)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		<p>assistance suggestions verified by provider.</p> <p>No Change - Client/recipient did not report implementation of pollution prevention/compliance assistance suggestions.</p>		
39	Return to Compliance	<p>Indicates whether the client/recipient returned to compliance for at least one compliance problem.</p> <p><i>Permissible Values:</i>  Reported - Return to compliance was reported but not verified by provider.</p> <p>Verified - Return to compliance verified by provider.</p> <p>No Change - Client/recipient did not report a return to compliance.</p> <p>Came Into Compliance Using Pollution Prevention - Client/recipient returned to compliance for at least one compliance problem using pollution prevention.</p>	Choose all appropriate.	A(47)
40	Type of Increased Awareness and Understanding	<p>The type of awareness or understanding that was increased at a facility as a result of compliance assistance activity.</p> <p><i>Permissible Values:</i>  Environmental Regulations</p> <p>Pollution Prevention Opportunities</p> <p>Environmental Management Systems</p>		A(34)
41	Behavioral Change Type	The type of behavioral change(s) that occurred at a facility as a result of compliance	Choose all appropriate.	A(53)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		<p>assistance activity.</p> <p><i>Permissible Values:</i>            Action Taken to Comply with Environmental Regulations</p> <p>Establish an Environmental Management Systems</p> <p>Pollution Prevention/Process Changes</p> <p>Conservation Program</p>		
42	Type of Action Taken to Comply with Environmental Regulations	<p>The type of action taken by a facility to comply with environmental regulations as a result of compliance assistance activity.</p> <p><i>Permissible Values:</i>            Corrected Record Keeping Deficiencies</p> <p>Corrected Monitoring Deficiencies</p> <p>Completed a Notification or a Report</p> <p>Requested a Permit Application</p> <p>Corrected Management Practices or Procedures</p> <p>Implemented New/Improved Management Procedure</p> <p>Improved Pollutant Identification</p> <p>Reduced Pollution</p> <p>Other: write in</p>	<p>Choose all appropriate.</p> <p>Corrected Management Practices or Procedures includes, e.g., aisle space, etc.</p> <p>Implemented New/Improved Management Procedure includes, e.g., Environmental Management Systems, Audits, etc.</p> <p>Improved Pollutant Identification includes, e.g., labeling, manifesting, storage, etc.</p> <p>Reduced Pollution includes e.g., use reduction, industrial process change, emissions or discharge change, etc.</p>	A(45)
43	Conservation/Restoration Type	The type of material restored or conserved as a result of implementing a pollution prevention and/or compliance assistance recommendation.	Land covers soil, acreage, buildings.	A(7)

Compliance Assistance Data Elements				
Data Element Name		Data Element Definition	Notes	Format
		<i>Permissible Values:</i> Energy  Water  Wetland  Land  Raw Materials		